

Chapter Four

Error Correction and the Pended Encounter File

I. Introduction

For each contractor, AHCCCSA produces a Pended Encounter File at the conclusion of encounter processing. This file contains all encounters pending in the AHCCCS PMMIS database. Contractors use information in this file to change, delete or approve pended encounters. The contractor then submits to AHCCCSA a Pended Encounter File with the appropriate revisions. This chapter contains file specifications and record layouts for the Pended Encounter File. In addition, this chapter discusses actions that contractors may take to resolve pends and outlines the sanction and grievance policies relating to pended encounters that are not corrected within 120 days, as specified in contract.

II. Pended Encounter and Comment Files

Exhibit 4A lists the record layout for the Pended Encounter File. The tables are ordered by record type, and include the data field name, field size, and in some cases, additional information regarding reporting requirements. Deviation from these requirements may cause a file to fail or an encounter to re-pend. Exhibit 4B shows the record layout for the Comment File. This file contains comments intended to aid in the correction of select pended encounters.

III. Pended Encounter Correction File Record Types

- T0 Header record - reflects the start of the file.
- T9 Trailer record - reflects the end of the file.
- C# All related C1 - C5 records contain a common CRN. When the error relates to a header line, the last two positions of the CRN will be "00". When the error relates to a detail line, the last two positions of the CRN must be the appropriate line number.
- C1 Required. There is only one "C1" record per encounter (invoice). This record is followed by all of the header and detail error records related to the encounter (invoice).

- C2 Optional. This record relates to header errors only. It contains the error code(s) that have pended. There is only one "C2" record per encounter invoice.

Note: This record is required when approving an encounter that pended for being a duplicate of a previously accepted encounter.

- C3 Required. This record is associated with the "C2" record. It contains key fields relating to the error, such as field name, original value, new value (if any) and action mode (defaulted to "N"). There may be many "C3" records for each "C2" record. Corrections are made on "C3" records by putting correct value(s) into relevant field(s), and setting the action mode.
- C4 Optional. This record relates to detail line errors. It contains the error code(s) that have pended. There is one "C4" record per detail line.

Note: This record is required when approving an encounter that pended for being a duplicate of a previously accepted encounter.

- C5 Required. This record is associated with the "C4" record. It contains key fields relating to the error, such as field name, original value, new value (if any) and action mode (defaulted to "N"). There may be many "C5" records for each "C4" record. Corrections are made on the C5 records by putting correct value(s) into relevant field(s), and setting the action mode.

IV. Submission of Corrected Pended Encounters

It is not necessary for the Contractor to resubmit the entire Pended Encounter File to AHCCCSA. Only those C3/C5 records for which an action mode other than "N" has been set should be resubmitted.

When submitting encounter records with an "A" action mode, the applicable C2 or C4 records must be included. Failure to return these records will result in a rejection of the "A" action mode transaction.

The C1 record must also be present whenever a C3/C5 record is resubmitted.

V. Action Modes

In the Pended Encounter File, contractors can take one of four actions relating to a pended encounter. AHCCCSA refers to these as action modes:

Action Modes	
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C	= Correct a pended encounter
A	= Approve or override a duplicate encounter
D	= Delete a pended encounter
N	= No action

The action mode default is "N" when the Pended Encounter File is produced. To resolve the pended status, the contractor first chooses an appropriate action mode for each pended encounter. Action modes are described below.

- **C** To correct a data field on a pended encounter.

Allows the contractor to input new information into the "new value" field on the correction detail. The "new value" will replace the "old value" field on the AHCCCSA database when the contractor submits the Pended Encounter File.

To delete the contents for the "old value" field, the "new value" field must contain only spaces.

- **A** To approve or override a duplicate encounter.

Allows the contractor to approve or override an encounter that is pended as being an exact or near duplicate of a previously accepted encounter. The contractor must verify that both services were provided and were accurately reported before approving duplicate encounters.

Note: Contractors cannot approve inpatient hospital (Form Type I) exact duplicate encounters.

- **D** To delete a pending encounter.

Allows the contractor to voluntarily delete a pending encounter. Encounters that have been voluntarily deleted are stored on the AHCCCSA database with a "42" status code indicating that they were deleted by the contractor.

- **N** No change to the data field content.

This is the default action mode. The contractor should leave the action mode set to "N" when no action is desired.

Note: In addition to modifying pending encounters with the delete (D) and change (C) action modes in the pending encounter file, contractors may also modify pending encounters using the replacement value in the 837 or the rebill value in the NCPDP transactions. For additional information regarding replacements, please refer to the 837 or NCPDP implementation guides. An override (A) action mode is not available in the 837 or NCPDP transactions. Therefore overrides must be submitted using the pending encounter file.

Action Mode Hierarchy

In some cases, more than one action code can be provided for one pending encounter record. When multiple action modes are submitted for the same correction header record, the following hierarchy of application shall apply.

1. Action Mode D for any form type

If action mode "D" is used in a data field for a header error (C3 record), it will cause the entire encounter (all lines) to be deleted.

Note: Deletion of an invoice (C3 record) will always supersede deletion of a line (C5 record).

When the action mode "D" is used, no other action modes will be recognized in other fields for that encounter; i.e.: "A" or "C".

When using the action mode "D" on a C5 record, the result differs based on form type. When deleting an 837P, 837D or NCPD encounter, the logical delete is performed at the **line**

level. This is because a single line, in conjunction with its related header, constitutes a single encounter for these form types.

When deleting an 837I encounter, the logical delete is performed at the **header** level. This is because all lines, in conjunction with their related header, constitute a single encounter on an 837I.

2. Action Mode A.

The use of action mode “A” will result in the approval or override of the encounter line for an 837P, 837D or NCPD encounter, or the entire encounter for an 837I. No action mode value of “C” will be applied.

3. Action Mode C

If there are no entries of action modes “D” or “A” for the record, an action mode of “C” will be applied.

VI. Pended Encounter Deletion and Override Form

A contractor may voluntarily delete or override a pended encounter; however pended encounters must not be deleted or overridden in order to avoid sanctions for failure to correct pended encounters within 120 days. Contractors must document, including the reason, deleted and overridden encounters and maintain a record of the deleted and overridden CRNs, and upon request, make this documentation available to AHCCCSA for review.

If a pended encounter that has been deleted or overridden is being researched by AHCCCSA, and is determined to be deleted or overridden to avoid sanctioning, the contractor will be sanctioned in the amount of \$25.00 per encounter. Sanctions will be deducted from the contractor’s capitation payment.

VII. Pended Encounter Sanction Policy

As specified in the contract between AHCCCSA and the contractor, pended encounters must be corrected within 120 days of receipt. If encounters are not corrected within 120 days of receipt, contractors are liable for sanctions. **In terms of meeting AHCCCSA standards for timeliness, a contractor is responsible for the performance of a subcontractor.**

Contractors are subject to sanctions according to the following schedule:

0 – 120 days	121 – 180 days	181 – 240 days	241 – 360 days	361 + days
No sanction	\$ 5 per month	\$ 10 per month	\$ 15 per month	\$ 20 per month

Sanctions are calculated and assessed on a quarterly basis. Sanctions will be deducted from the contractor's capitation payment. AHCCCSA reserves the right to adjust the sanction amount at any time.

A contractor may believe that a pended encounter is the result of an "AHCCCSA error." AHCCCSA error is defined as a pended encounter which (1) AHCCCSA acknowledges to be the result of its own error, and (2) requires a change to the system programming, an update to the database reference tables, or further research by AHCCCSA, and therefore requires AHCCCSA resolution to process the pend.

A contractor must notify the AHCCCS Encounter Unit in writing prior to the 120-calendar day timeframe if it believes that the resolution of a pended encounter depends on AHCCCSA rather than the contractor. AHCCCSA encourages contractors to provide written notice as soon as possible. Contractor liability for pended encounter age is frozen at the date of notification when the pend error requires AHCCCSA resolution. Following AHCCCSA resolution the contractor liability for the age of the pended encounter resumes.

For example, if a contractor notifies AHCCCSA of an error on the 30th day of the pended encounter and the pend error requires AHCCCSA resolution, contractor liability for the age is frozen at 30 days. Following AHCCCSA resolution, the contractor has 90 days (120 days minus 30 days) to resolve the encounter pend error prior to sanctioning. If the contractor notifies AHCCCS on the 101st day of the pended encounter that requires AHCCCSA resolution, following resolution the contractor has 19 days (120 days minus 101 days) to resolve the encounter pend error prior to sanctioning.

The AHCCCS Encounter Unit maintains a log that tracks AHCCCSA and contractor errors. The current log, including the error reason and effective dates, is updated monthly. Contractors are notified when AHCCCSA errors have been identified and when the errors have been resolved.

Pended encounters will not qualify as AHCCCSA errors if AHCCCSA reviews the contractor's notification and asks the contractor to research the issue and provide additional substantiating documentation, or if AHCCCSA disagrees with the contractor's claim of AHCCCSA error. If a pended encounter being researched

by AHCCCSA is later determined not to be caused by AHCCCSA error, the contractor may be sanctioned retroactively.

Before imposing sanctions, AHCCCSA will notify the contractor in writing of the total number of encounters pended for more than 120 days eligible for sanctioning.

VIII. Grievances

Contractors have the right to file a grievance regarding pended encounter sanctions. Grievances must be filed in a timely manner pursuant to Article 8 of the AHCCCSA Rules.

IX. Assistance

AHCCCSA has staff available to assist contractors with the resolution of pended encounter problems. Contractors may call or e-mail the AHCCCS Encounter Unit for assistance Monday through Friday (excluding State holidays). Depending on the nature of the problem, staff may ask the contractor to submit a Pended Encounter/Corrective Action Notice (Exhibit 4C) to document the problem and to aid in its resolution. This form may also be found on AHCCCSA's website.

AHCCCSA identifies individual encounters by the AHCCCS Control Reference Number (CRN). When working with AHCCCSA staff, the CRN must be used by the Contractor to identify encounters that have been pended. To help the contractor associate the CRN to its own identification number, AHCCCSA also provides the Health Plan Claim Number field on the Pended Encounter File.

EXHIBIT 4A

Pended Encounter File Record Layout

Pended Encounter File Record Layout

100 Column Format

T0 Record

One Per File

Data Name	Picture	Actual Positions From To		Remarks
Filler	X(09)	01	09	
Transmission Submitter Number (TSN)	X(03)	10	12	
Date Created	X(05)	13	17	YYDDD (Julian Date Format)
Filler	X(77)	18	98	
Record Type	X(02)	99	100	Value "T0"

Pended Encounter File Record Layout

100 Column Format

C1 Record

One Per Encounter

Data Name	Picture	Actual Positions From To		Remarks
CRN	9(14)	01	14	
Invoice Number	9(06)	15	20	
Form Type	X(01)	21	21	
Date Created	X(06)	22	29	YEARMMDD
Contractor ID	X(06)	30	35	
AHCCCS Recipient ID	X(09)	36	44	
Service Provider ID	X(06)	45	54	
Health Plan Claim Number	X(20)	55	84	Contractor's Claim Identification Number
Filler	X(9)	83	98	
Record Type	X(02)	99	100	Value "C1"

Pended Encounters File Record Layout

100 Column Format

C2/C4 Records

Errors Present

Data Name	Picture	Actual Positions From To		Remarks
CRN	N(14)	01	14	
Error Code 1	X(4)	15	18	
Error Code 2	X(4)	19	22	
Error Code 3	X(4)	23	26	
Error Code 4	X(4)	27	30	
Error Code 5	X(4)	31	34	
Error Code 6	X(4)	35	38	
Error Code 7	X(4)	39	42	
Error Code 8	X(4)	43	46	
Error Code 9	X(4)	47	50	
Error Code 10	X(4)	51	54	
Error Code 11	X(4)	55	58	
Error Code 12	X(4)	59	62	
Error Code 13	X(4)	63	66	
Error Code 14	X(4)	67	70	
Error Code 15	X(4)	71	74	
Filler	X(4)	75	98	
Record Type	X(2)	99	100	Value "C2" or "C4"

Pended Encounters File Record Layout

100 Column Format

C3/C5 Records

Fields in Error

Data Name	Picture	Actual Positions From To		Remarks
CRN	9(14)	01	14	
Invoice Number	9(6)	15	20	
Internal Field Number	X(3)	21	23	
Old Value	X(20)	24	43	
New Value	X(20)	44	63	Underscores to size of allowed input.
Action Mode	X(1)	64	64	Defaults to 'N' Input 'C' = Correct 'D' = Delete 'N' = No Action 'A' = Approve Duplicate Audit
CCL Location	X(2)	65	66	Always "92"
Form Field Name	X(15)	67	81	
Filler	X(17)	82	98	
Record Type	X(2)	99	100	Value "C3" or "C5"

Pended Encounters File Record Layout

100 Column Format

T9 Record

One Per File

Data Name	Picture	Actual Positions		Remarks
		From	To	
Filler	X(9)	01	09	
Transmission Submitter Number (TSN)	X(3)	10	12	
Filler	X(6)	13	18	
Current Date	X(5)	19	23	'YYDDD' (Julian Date Format)
Filler	X(2)	24	25	
Total Records on File	N(7)	26	32	
Total Charges	N(13)V99	33	47	Zeros
Filler	X(31)	48	98	
Record Type	X(2)	99	100	Value "T9"

EXHIBIT 4B

Comment File Record Layout

Comment File Record Layout

100 Column Format

T0 Record

One Per File

Data Name	Picture	Actual Positions		Remarks
		From	To	
Record Type	X(2)	01	02	"T0"
Filler	X(14)	03	16	
Transmission Submitter Number (TSN)	X(3)	17	19	
Date File Created	X(8)	20	27	'YEARMMDD'
Filler	X(73)	28	100	

C6 Record

One Per Encounter

Data Name	Picture	Actual Positions		Remarks
		From	To	
Record Type	X(2)	01	02	"C6"
CRN	X(14)	03	16	
Health Plan Identifier	X(6)	17	22	
Comment	X(68)	23	90	
Filler	X(10)	91	100	

Comment File Record Layout

100 Column Format

T9 Record

One Per File

Data Name	Picture	Actual Positions From To		Remarks
Record Type	X(2)	01	02	"T9"
Filler	X(14)	03	16	
Transmission Submitter Number (TSN)	X(3)	17	19	
Date File Created	X(8)	20	27	'YEARMMDD'
Total Number of Records	N(7)	28	34	
Filler	X(66)	35	100	

Exhibit 4C

Pended Encounter/Corrective Action Notice

Pended Encounter Notification/ Corrective Action Notice

Field No.	Instructions
Fields 1 and 11 are to be completed by the contractor	
1.	Enter contractor's name.
2.	Enter contractor's contact person.
3.	Enter the date that assistance is being requested.
4.	Enter contractor's identification number assigned by AHCCCSA.
5.	Enter phone number of contractor contact person.
6.	Enter the AHCCCSA Control Reference Number (CRN).
7.	Enter the process date from the AHCCCS report EC9EM187 (Pended Encounter Inventory Aging Detail by Health Plan).
8.	Enter the error code.
9.	Enter the recipient identification number.
10.	Enter the beginning and end dates of service (DOS).
11.	Provide a brief description of the problem. If more space is required, use another sheet of paper and attach it to this form. If multiple pended encounters are for one member/provider and same scenario, use only one form and indicate each CRN that is affected.
Fields 12 through 17 are to be completed by the Encounter Unit	
12.	Provide brief response to problem.
13.	Initials of encounter staff person who is responsible for response.
14.	Enter the date the form was received.
15.	Enter the alphanumeric log number (i.e. P00001).
16.	Enter the date response was completed.
17.	Enter the date returned to contractor.

PENDED ENCOUNTER NOTIFICATION/CORRECTIVE ACTION							
Health Plan: 1.		Contact Person: 2.		Request Date: 3.			
Health Plan ID: 4.		Phone: 5.		Shaded Areas for the Office Use Only			
1.	AHCCCS	Process Date	Error Code	Description of Problems: 11.	AHCCCS 12.	B 13.	
	6.	7.	8.				
	Member ID:	Begin/End DOS:					
	9.	10.					
2.	AHCCCS	Process Date	Error Code	Description of Problems:	AHCCCS	B	
	Member ID:	Begin/End DOS:					
3.	AHCCCS	Process Date	Error Code	Description of Problems:	AHCCCS	B	
	Member ID:	Begin/End DOS:					
4.	AHCCCS	Process Date	Error Code	Description of Problems:	AHCCCS	B	
	Member ID:	Begin/End DOS:					
5.	AHCCCS CRN:	Process Date	Error Code	Description of Problems:	AHCCCS	B	
	Member ID:	Begin/End DOS:					
Date Received: 14.		Log Number : 15.		Date Completed: 16.		Date Returned: 17.	